

## **Method And System For Extracting Title From Document Image**

### **Field of the Invention**

The current invention is generally related to title extraction, and more particularly  
5 related to extracting a title area from a document image.

### **BACKGROUND OF THE INVENTION**

In the prior art attempts of extracting a title from documents, one of the  
significant factors is whether the documents are in a predetermined format. If input  
10 documents have a predetermined layout, the position of a title area or a minimal  
circumscribing rectangle is used to extract information on title. On the other hand, if the  
input documents are in a free form or do not have a rigid layout, one way is to manually  
extract a title.

To efficiently extract a title from documents in a free form, Japanese Patent Laid  
15 Publication Hei 9-134406 and Japanese Patent Hei 5-274471 disclose prior attempts to use  
layout features of the documents. Japanese Patent Hei 5-274471 discloses a priority  
scheme in selecting a title-containing area. The priority scheme includes (1) an area's  
relative closeness to the upper left corner in a document image, (2) a number of characters  
contained in an adjacent area, and (3) a number of characters in the area and the adjacent  
20 area. The above priority is determined by using minimal circumscribing rectangles, and no  
character recognition is performed. Japanese Patent Laid Publication Hei 9-134406  
discloses a selection of a title based upon a projection histogram of a document image.  
Regions of the projection histogram are compared to a pair of predetermined threshold  
values to determine a title area. Although the above prior attempts provide some success  
25 in determining a title in documents, the accuracy still remains a problem.

### **SUMMARY OF THE INVENTION**

In order to solve the above and other problems, according to a first aspect of the  
current invention, a method of determining a title from a document image, including:  
30 dividing the document image into minimal circumscribing rectangles which contain a

character image; recognizing characters in the minimal circumscribing rectangles; and determining a title of the document image based upon a likelihood of each of the minimal circumscribing rectangles containing a title, the likelihood being determined based upon information obtained during the character recognition.

5 According to a second aspect of the current invention, a system for determining a title from a document image, including: a character row area determination unit for dividing the document image into minimal circumscribing rectangles which contain a character image; a character recognition unit connected to the character row area  
10 determination unit for recognizing characters in the minimal circumscribing rectangles; and a title evaluation point determination unit connected to the character recognition unit for determining a title of the document image based upon a likelihood of each of the minimal circumscribing rectangles containing a title, the likelihood being determined based upon information obtained during the character recognition.

15 These and various other advantages and features of novelty which characterize the invention are pointed out with particularity in the claims annexed hereto and forming a part hereof. However, for a better understanding of the invention, its advantages, and the objects obtained by its use, reference should be made to the drawings which form a further part hereof, and to the accompanying descriptive matter, in which there is illustrated and described a preferred embodiment of the invention.

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### **BRIEF DESCRIPTION OF THE DRAWINGS**

FIGURE 1 is a block diagram illustrating one preferred embodiment of the system for extracting a title from a document image according to the current invention.

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FIGURE 2 is a block diagram illustrating a second preferred embodiment of the system for determining a title from a document image according to the current invention.

FIGURE 3 is a flow chart illustrating acts involved in a preferred process of  
30 determining a factor in selecting a title according to the current invention.

FIGURE 4 is a block diagram illustrating a third preferred embodiment of the system for determining a title from a document image according to the current invention.

5           FIGURE 5 is a flow chart illustrating acts involved in a second preferred process of determining a title from a document image according to the current invention.

FIGURE 6 is a flow chart illustrating acts involved in determining the likelihood based upon a character recognition assurance level according to the current invention.

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FIGURE 7 is a flow chart illustrating other acts involved in determining the likelihood based upon a number of characters according to the current invention.

15           FIGURE 8 is a flow chart illustrating other acts involved in determining the likelihood based upon a predetermined word according to the current invention.

FIGURE 9 is a flow chart illustrating acts involved in determining the likelihood based upon font information according to the current invention.

20           FIGURE 10 is a flow chart illustrating acts involved in determining the likelihood based upon a length-height ratio according to the current invention.

FIGURE 11 is a flow chart illustrating acts involved in determining the likelihood based upon a total character width according to the current invention.

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FIGURE 12 is a block diagram illustrating a fourth preferred embodiment of the system for determining a factor in selecting a title from a document image according to the current invention.

FIGURE 13 is a flow chart illustrating acts involved in determining a search word according to the current invention.

FIGURE 14 is a block diagram illustrating a fifth preferred embodiment of the system for pre-processing a document image prior to selecting a title from a document image according to the current invention.

FIGURE 15 is a flow chart illustrating acts involved in pre-processing a document image prior to selecting a title from a document image according to the current invention.

#### **DETAILED DESCRIPTION OF THE PREFERRED EMBODIMENT(S)**

Referring now to the drawings, wherein like reference numerals designate corresponding structure throughout the views, and referring in particular to FIGURE 1, one preferred embodiment of the system for extracting a title from a document image according to the current invention is implemented in a computer network. The system is connected to a communication line via a communication unit 10 and includes a central processing unit (CPU) 14 along with a memory unit 12. Software or computer instructions for extracting a title is stored in a storage device such as a hard disk 24 or a read only memory compact disk (CD-ROM) 20. The title extracting software is copied into the memory unit 12, and the CPU 14 executes the computer instructions. The document image is inputted into the system via an input device such as a scanner 16 or via the communication line.

Alternatively, the document image is inputted from the above described storage media. The system communicates with a system user via a keyboard 22 and a display unit 26.

Still referring to FIGURE 1, the title extraction software is initiated by the user to automatically select a title in a specified input document. In general, the title extraction software according to the current invention divides the input image into minimal circumscribing rectangles, and each of the minimal circumscribing rectangles contains a continuous image portion. The image portion in each minimal circumscribing rectangle is converted to a character code based upon a known optical character recognition method.

During the character recognition, certain predetermined information is stored. A title area is determined based upon a likelihood of a minimal circumscribing rectangle containing a title. The likelihood is determined based upon the predetermined information obtained during the character recognition process and is expressed as a sum of points indicating the likelihood.

Now referring to FIGURE 2, a block diagram illustrates a second preferred embodiment of the system for determining a title from a document image according to the current invention. A pixel data input unit 31 inputs a document image, and a document image storage unit 32 stores the inputted document image. After a logical element extraction unit 33 extracts logical elements, a character row determination unit 34 confirms the extracted elements are indeed character rows areas. A character recognition unit 35 recognizes characters from an image contained in the confirmed character rows areas. Information obtained from the character recognition in the character recognition unit 35 is outputted to a result storage unit 36. A title evaluation unit 38 determines a title based upon the stored information in the result storage unit 36. The title evaluation unit 38 uses the stored information such as a character recognition assurance level as a factor in determining a title area. The result of the title determination is displayed in a display unit 37.

Referring to FIGURE 3, a flow chart illustrates acts involved in a preferred process of determining a factor in selecting a title according to the current invention. Some elements of FIGURE 2 perform the following acts. In act A101, a document image is inputted. Logical elements are extracted from the inputted document image in act A102. The logical elements are determined based upon layout characteristics of the inputted document using a conventional method. The logical elements include a title area, an author name area and so on. Based upon the logical elements, character row areas are determined in act A103. Then, the character row areas are processed for character recognition in act A104. In the act A104, the character recognition unit 35 determines not only coordinates and a character code of each character image portion in the character row area, but also a recognition assurance level of the character recognition. In act A105, it is determined whether or not the character recognition assurance level is above a predetermined threshold

value. If the assurance level is higher than the predetermined threshold value, the recognized data or information is stored in the result storage unit 36 for the future processing and displayed as a character code. On the other hand, if the assurance level is below the predetermined threshold value, the image portion is considered as an image rather than a character and the image is displayed in act A107.

5 *IRA* Now referring to FIGURE 4, a block diagram illustrates a third preferred embodiment of the system for determining a title from a document image according to the current invention. An image input unit 121 inputs a document image, and a document image storage unit 122 stores the inputted document image. A character row area  
10 determination unit 123 determines areas or minimal circumscribing rectangles that contain characters. The character row area determination unit 123 outputs the coordinates as well as the size of character row areas to a character recognition unit 124 as well as a title evaluation point determination unit 128. The character recognition unit 124 recognizes  
15 characters from character image portions in the character row areas. For the character recognition, disclosures in U.S. Pat. No. 5,966,464 are hereby incorporated by external referenced. The character recognition unit 124 generates corresponding character codes as well as other associated information. Other associated information includes the character recognition assurance level, the coordinates of a minimal circumscribing rectangle and the size of the rectangle. The outputs from the character recognition unit 124 are sent to a font  
20 determination unit 125, the title evaluation point determination unit 128, a natural language analysis unit 126 and a recognition result storage unit 129. The font determination unit 125 determines a font type and other associated information for each character and outputs the font information to the title evaluation point determination unit 128. Disclosures on the font determination in Japanese Patent Laid Publication Hei 9-319830 are hereby  
25 incorporated by external referenced. The natural language analysis unit 126 compares the recognized characters against a predetermined dictionary and determines whether or not the recognized characters match or resemble any of the predetermined titles or words in a dictionary. For example, the dictionary contains a set of predetermined suffixes which indicate a noun form and its corresponding statistical information. The natural language  
30 analysis unit 126 also outputs the determination information to the title evaluation point

determination unit 128. A characteristics extraction unit 127 extracts information on certain layouts such as underlining, centering and the minimal circumscribing rectangle size from the input image and outputs the information to the title evaluation point determination unit 128. For example, if the character size is beyond 18-point in an A4 image, the minimal circumscribing rectangle containing the characters is assigned a high score. Similarly, a high score is assigned to a minimal circumscribing rectangle if a number of characters or words in the rectangle is less than a predetermined number. For example, for the Japanese language, the predetermined number of characters may be set to twelve. The above and other predetermined numbers are user-definable.

INS?  
bl? Based upon the information received from the above described units, the title evaluation point determination unit 128 determines the likelihood of containing a title for each minimal circumscribing rectangle and expresses the likelihood in terms of a sum of points. For example, a higher number of points is generally given to a large size character set since a title is usually larger than text. Similarly, a higher number of points is generally given for a character set that is underlined or otherwise emphasized. A higher point is assigned to the natural language determination information indicating a title row such as "title:" or "re:." The points are optionally weighted for each category of information. Any combination of categories of the above described information is also optionally used to determine the likelihood. The title evaluation point determination unit 128 determines whether the largest sum is above a predetermined threshold value to qualify an area corresponding to the largest sum of points as a title area. A title extraction unit 130 extracts the qualified title while a display unit 131 displays the extracted title.

Referring to FIGURE 5, a flow chart illustrates acts involved in a second preferred process of determining a title from a document image according to the current invention. Some of the elements described in FIGURE 4 illustrate the following acts in the preferred process. An image input unit 121 inputs a document image in act A201. A character row area determination unit 123 determines areas or minimal circumscribing rectangles that contain characters in act A202. The character recognition unit 124 recognizes characters from character image portions in the character row areas in act A203.

The character recognition unit 124 generates corresponding character codes as well as

other associated information. Other associated information includes the character recognition assurance level, the coordinates of a minimal circumscribing rectangle and the size of the rectangle. The outputs from the character recognition unit 124 are sent to a font determination unit 125, the title evaluation point determination unit 128, a natural language analysis unit 126 and a recognition result storage unit 129. These units use the information obtained from the character recognition act and further process it. The process information is sent to the title evaluation point determination unit 128. Based upon the processed information received from the above described units, the title evaluation point determination unit 128 determines the likelihood of containing a title for each minimal circumscribing rectangle and expresses the likelihood in terms of a sum of points in act A204. Based upon the likelihood, the title extraction unit 130 extracts a qualified title in act A205. In act A206, the character recognition assurance level is compared to a predetermined threshold value. If the assurance level is above the predetermined threshold value, the character code is displayed as a title in act A207. On the other hand, if the assurance level is below the predetermined threshold value, a partial image is displayed in act A208.

FIGURES 6 through 11 illustrate acts involved in preferred processes of determining a title according to the current invention. Any combination of these processes is performed by the elements of FIGURE 5. FIGURE 6 illustrates acts involved in determining the likelihood based upon a character recognition assurance level according to the current invention. In act A301, a document image is inputted, and character row areas are determined in act A302. After the character image in the character row areas is converted into character codes, a character recognition assurance level is compared to a predetermined threshold value in act A303. If the assurance level is above the predetermined threshold value, a predetermined number of points is added to the likelihood for the character row area and a title area selection is determined based upon the total number of points in act A304. On the other hand, if the assurance level is below the predetermined threshold value, other predetermined processing is performed.

<sup>105</sup><sub>210</sub> FIGURE 7 illustrates other acts involved in determining the likelihood based upon a number of characters according to the current invention. In act A401, a document



image is inputted, and character row areas are determined in act A402. After the character image in the character row areas is converted into character codes, a number of characters is determined. The number of characters is compared to a predetermined threshold value in act A404. A set of predetermined threshold values is optionally stored in a statistical dictionary for different types of documents. If the number of characters is below the predetermined threshold value in act A405, a predetermined number of points is added to the likelihood for the character row area and a title area selection is determined based upon the total number of points in act A406. On the other hand, if the number of characters is below the predetermined threshold value in act A405, other predetermined processing is performed.

FIGURE 8 illustrates other acts involved in determining the likelihood based upon a predetermined word according to the current invention. In act A501, a document image is inputted, and character row areas are determined in act A502. After the character image in the character row areas is converted into character codes, a predetermined natural language process is performed in act A503. For example, it is determined whether or not the converted character set or word ends in a noun form. A set of predetermined noun forms or suffixes is optionally stored in a form dictionary. If the word satisfies a predetermined condition in act A504, a predetermined number of points is added to the likelihood for the character row area and a title area selection is determined based upon the total number of points in act A505. On the other hand, if the predetermined condition is not met in act A504, other predetermined processing is performed.

FIGURE 9 illustrates acts involved in determining the likelihood based upon font information according to the current invention. In act A601, a document image is inputted, and character row areas are determined in act A602. After the character image in the character row areas is converted into character codes, font information such as a font style is extracted in act A603. The font information is compared to a predetermined font data in act A604. If the font information matches the predetermined font data, a predetermined number of points is added to the likelihood for the character row area and a title area selection is determined based upon the total number of points in act A605. On the other hand, if the font information fails to match the predetermined font data, other

predetermined processing is performed. Alternatively, font style distribution data is generated for an input document. Based upon an occurrence frequency in the font style distribution, it is determined whether or not the character row contains a title.

FIGURE 10 illustrates acts involved in determining the likelihood based upon a length-height ratio according to the current invention. In act A701, a document image is inputted, and character row areas are determined in act A702. After the character image in the character row areas is converted into character codes, the width-height ratio of a minimal circumscribing rectangle containing the characters is determined in act A703. The ratio is then compared to a predetermined threshold value in act A704. If the ratio is above the predetermined threshold value, a predetermined number of points is added to the likelihood for the character row area and a title area selection is determined based upon the total number of points in act A705. For example, the width-height ratio of 2:1 is used as a predetermined threshold value. On the other hand, if the ratio is below the predetermined threshold value, other predetermined processing is performed.

FIGURE 11 illustrates acts involved in determining the likelihood based upon a total character width according to the current invention. In act A801, a document image is inputted, and character row areas are determined in act A802. After the character image in the character row areas is converted into character codes in act A803, a total character width is determined by adding a width of each character in a minimal circumscribing rectangle in act A804. The total character width is compared to the width of the minimal circumscribing rectangle in act A805. If the total character width is approximately one half of the minimal circumscribing rectangular width, a predetermined number of points is added to the likelihood for the character row area and a title area selection is determined based upon the total number of points in act A806. On the other hand, if the total character width is not approximately one half of the minimal circumscribing rectangular width, other predetermined processing is performed. Alternatively, when characters are arranged in a top-to-bottom vertical manner rather than a left-to-right horizontal manner, a total height of the characters is compared to a minimal circumscribing rectangular height.

Now referring to FIGURE 12, a block diagram illustrates a fourth preferred embodiment of the system for determining a factor in selecting a title from a document

image according to the current invention. A character recognition unit 102 recognizes characters from character images and generates character codes. The character recognition unit 102 also outputs the character circumscribing rectangular coordinates and size. An area recognition unit 101 determines a character density level based upon a number of characters and the minimal circumscribing rectangular size. Based upon the character density and the character size, it is determined whether or not the equal character spacing exists in a particular minimal circumscribing rectangle. The area recognition unit 101 also determines whether or not the characters are proportionally enlarged from the rest of the text based upon a length-and-height ratio of minimal circumscribing rectangles. These determined features generally contribute to a title, and a predetermined number of points is allocated for these features.

FIGURE 13 illustrates acts involved in determining a search word according to the current invention. In act A901, each character image in a document image is converted into a character code. A key word is selected from the document according to a predetermined natural language technique in act A902. The key word is combined with a title in act A903. Using the combined search word, the document is searched for a match in act A904. This is one example of the use of the title which is extracted according to the current invention.

Now referring to FIGURE 14, a block diagram illustrates a fifth preferred embodiment of the system for pre-processing a document image prior to selecting a title from a document image according to the current invention. The fifth preferred embodiment includes an image input unit 41 for inputting a document image and a document image storage unit 42 for storing the inputted document image. A document image comparison unit 44 compares the inputted documented image to a predetermined set of templates which are stored in a document template storage unit 43. The predetermined document templates have coordinates of certain portions including a title area. If the inputted document matches one of the templates, a template matching unit 45 extracts a title area according to the information of the matched template. On the other hand, if the inputted document fails to match any of the predetermined templates, a title extraction unit 46 selects a title area according to the current invention. Preferred embodiments of the title

extraction unit 46 have been already described above. Lastly, a display unit 47 displays the result of the title determination either by the template matching unit 45 or the title extraction unit 46.

FIGURE 15 illustrates acts involved in pre-processing a document image prior to selecting a title from a document image according to the current invention. In act A301, a document image is inputted, and the document image is stored. In act A302, it is determined whether or not the inputted document matches any of predetermined document templates. The predetermined document templates have coordinates of certain portions including a title area. If the inputted document matches a template, a title area of the inputted document is extracted according to the matched template in act A303. On the other hand, if none of the predetermined templates matches the inputted document image, a title area is extracted according to the current invention. The title extraction according to the current invention has been described in the above described preferred processes.

It is to be understood, however, that even though numerous characteristics and advantages of the present invention have been set forth in the foregoing description, together with details of the structure and function of the invention, the disclosure is illustrative only, and that although changes may be made in detail, especially in matters of shape, size and arrangement of parts, as well as implementation in software, hardware, or a combination of both, the changes are within the principles of the invention to the full extent indicated by the broad general meaning of the terms in which the appended claims are expressed.